



21 April 2023

National Institutes of Health
9000 Rockville Pike, Bethesda, Maryland 20892, United States

RE: Request for Information; NIH Plan to Enhance Public Access to the Results of NIH-Supported Research

To the National Institutes of Health,
Thank you for the opportunity to provide feedback to the NIH Plan to Enhance Public Access to the Results of NIH-Supported Research, ORCID would like to respond to Questions 1 and 4.

ORCID appreciates NIH's various efforts to adopt persistent identifiers, specifically the ORCID policy for individuals supported by research training, fellowship, research education, and career development awards, and the work to include ORCID in the SciENcv system, populating data into the various forms in an effort to reduce administrative burden on researchers. We believe increasing the interoperability between NIH systems and ORCID's repository will improve the quality and timeliness of data about researchers, which in turn improves research integrity.

Question 1. How to best ensure equity in publication opportunities for NIH-supported investigators.

The NIH Public Access Plan aims to maintain the existing broad discretion for researchers and authors to choose how and where to publish their results. Consistent with current practice, the NIH Public Access Plan allows the submission of final published articles to PubMed Central (PMC) (in cases where a formal agreement is in place) to minimize the compliance burden on NIH-supported researchers and also maintains the flexibility of NIH-supported researchers to submit the final peer-reviewed manuscript. NIH seeks information on additional steps it might consider taking to ensure that proposed changes to implementation of the NIH Public Access Policy do not create new inequities in publishing opportunities or reinforce existing ones.

**ORCID Response**

ORCID would like to encourage NIH to optimize and accelerate the adoption of persistent identifiers for organizations, people, funding awards and research outputs across internal systems and funded organizations and individuals. This will create the technical infrastructure required to support exchanging data across universities, funders and publishers in order to establish the necessary evidence base to monitor any unintended effects of the policy change.

Question 4. Early input on considerations to increase findability and transparency of research.

Section IV of the NIH Public Access Plan is a first step in developing the NIH's updated plan for persistent identifiers (PIDs) and metadata, which will be submitted to OSTP by December 31, 2024. NIH seeks suggestions on any specific issues that should be considered in efforts to improve use of PIDs and metadata, including information about experiences institutions and researchers have had with adoption of different identifiers.

ORCID Response

The specific issues that ORCID would like to propose for the NIH to consider when updating its plan for persistent identifiers (PIDs) and metadata relate to its level of ORCID adoption, as well as the adoption plans for other stakeholders in the research ecosystem.

A fully PID-optimized research ecosystem will deliver more accurate, and more timely data to stakeholders in the research community, realizing the vision for research with integrity.

Many of the recommended points below were developed by the Funders Interest Group that ORCID hosts, which includes representatives from 37 organizations from around the world including NIH, NSF and DOE.

NIH should optimize its adoption of ORCID by:

- Developing policy encouraging all applicants to have an ORCID iD
- Collecting authenticated ORCID iDs from all applicants during the grant application process
- Collecting authenticated ORCID iDs from all grant reviewers
- Assigning Grant DOIs to awarded grants and deposit all associated metadata, including the awardees' ORCID iDs, with the relevant PID service provider
- Writing the funding award metadata to researchers' ORCID records, which will help researchers meet the new funding disclosure requirements



- Publicly acknowledging the work of your peer reviewers by writing the peer review activity to their ORCID records
- Improving the ability to measure the impact of your research funds by utilizing persistent identifiers and their associated metadata.
- Encouraging the [Generalist Repository Ecosystem Initiative](#) (GREI) to include full ORCID integrations into its best practices

NIH should encourage **Research Institutions** like universities that receive NIH funding to:

- Ensure that funded researchers have an ORCID iD
- Collect authenticated ORCID iDs from researchers in their internal administrative and compliance tools
- Write relevant employment data to affiliated researchers' ORCID records so they can meet the new affiliation disclosure requirements
- Write relevant education data to affiliated students' ORCID records
- Write relevant data to visiting researchers' ORCID records for all "Invited Positions"

NIH should encourage **Publishers** of NIH-funded research outputs to:

- Collect authenticated ORCID iDs for all authors and co-authors
- Collect authenticated ORCID iDs from all peer reviewers
- Assign DOIs to all publications
- Include ORCID iDs in the published and publicly available versions of the work
- Write the publication's metadata to the ORCID records of all authors and co-authors
- Publicly acknowledge the work of their peer reviewers by writing the peer review activity to their peer-reviewer's ORCID records
- Deposit all relevant persistent identifiers and metadata related to the publication, including its DOI, all ORCID iDs, Grant DOIs, ROR IDs, data DOIs, and research instrument identifiers with the relevant PID service providers

NIH should encourage **Developers and Managers of Repositories** that host NIH-funded research outputs to:

- Collect authenticated ORCID iDs from researchers
- Integrate their repositories with the ORCID Registry
- Write the metadata describing the deposited scholarly publications, data sets, and other research outputs to researchers' ORCID records to help compliance with the new disclosure requirements.



We have elaborated on the above recommendations in our recent blog post, “ORCID Poised to Support Research Institutions in New Era of Public Access and Research Security”

<https://info.orcid.org/orcid-poised-to-support-research-institutions-in-new-era-of-public-access-and-research-security/>

I stand ready to speak with you further about our recommendation should this be useful,

Thank you,

DocuSigned by:

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Chris Shillum
Executive Director, ORCID

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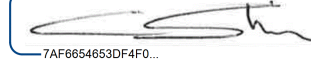
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